



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application☐ Supplemental (37 C.F.R. §1.67)

As a named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 2 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

ASYMMETRIC STREAMING RECORD DATA PROCESSOR METHOD AND APPARATUS

the specification of which (check one)

- ☐ is attached hereto.
- ☒ was filed on September 18, 2003 as United States Application Number 10/666,729.
- ☐ was filed on ☐ as PCT International Application No.
- ☐ and was amended on ☐ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119 or 365 of any foreign application(s) for patent or inventor's certificate, or of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			Priority Not Claimed	Certified Copy Filed?	
				YES	NO
<u>(Number)</u>	<u>(Country)</u>	<u>(Day/Month/Year filed)</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>(Number)</u>	<u>(Country)</u>	<u>(Day/Month/Year filed)</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>(Number)</u>	<u>(Country)</u>	<u>(Day/Month/Year filed)</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor Foster D. Hinshaw

Inventor's Signature  Date 12 Nov 03

Residence 22 Campbell Park


Somerville, Massachusetts 02144

Citizenship USA

Mailing Address same as above

Full name of second joint

inventor, if any Sanjay G. Dixit

Inventor's Signature  Date 11/12/03

Residence 50 Deerfoot Road

Southborough, Massachusetts 01772

Citizenship India

Mailing Address same as above

Full name of third joint

inventor, if any John K. Metzger

Inventor's Signature  Date 11/12/03

Residence 2 Hundreds Road

Westborough, Massachusetts 01581

Citizenship USA

Mailing Address same as above

Full name of fourth joint

inventor, if any David L. Meyers

Inventor's Signature  Date 12-Nov-03

Residence 645 South Street

Shrewsbury, Massachusetts 01545

Citizenship USA

Mailing Address same as above

Full name of fifth joint

inventor, if any Venkannababu Tammisetti

Inventor's Signature Babu Tammisetti Date Nov-12-2003

Residence 23 Farmington Drive  
Shrewsbury, Massachusetts 01545

Citizenship India

Mailing Address same as above

Full name of sixth joint

inventor, if any Premanand Yerabothu

Inventor's Signature Premanand Yerabothu Date Nov-12-2003

Residence 53 Latisquama Road  
Southborough, Massachusetts 01772

Citizenship India

Mailing Address same as above

Full name of seventh joint

inventor, if any Barry M. Zane

Inventor's Signature Barry M. Zane Date 12-Nov-03

Residence 4 Cobblestone Circle  
Wayland, Massachusetts 01778

Citizenship USA

Mailing Address same as above

Full name of eighth joint

inventor, if any \_\_\_\_\_

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_

Citizenship \_\_\_\_\_

Mailing Address \_\_\_\_\_

Full name of ninth joint

inventor, if any \_\_\_\_\_

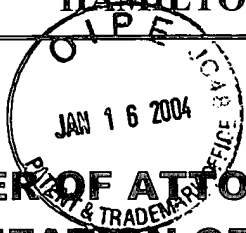
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_

Citizenship \_\_\_\_\_

Mailing Address \_\_\_\_\_

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.



**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT AND  
CORRESPONDENCE ADDRESS**

Application Number	10/666,729
Filing Date	September 18, 2003
First Named Inventor	Foster D. Hinshaw
Confirmation Number	
Group Art Unit	
Examiner Name	
Attorney Docket Number	3336.1016-001

Title ASYMMETRIC STREAMING RECORD DATA PROCESSOR METHOD AND APPARATUS

I/We hereby appoint

☒ the attorneys/agents associated with **Customer No. 021005**

☐ Practitioner(s) named below:

as my/our attorneys/agents to prosecute the application identified above, including any continuation or divisional applications thereof, and to transact all business in the United States Patent and Trademark Office connected therewith.

The correspondence address for the above-identified application is:

☒ Customer Number 021005

Hamilton, Brook, Smith & Reynolds, P.C.

530 Virginia Road

P.O. Box 9133

Concord, Massachusetts 01742-9133

☐ Other

Please direct all telephone calls and facsimiles to:

Name David J. Thibodeau, Jr. Tel. No. 978-341-0036 Fax No. 978-341-0136

I am the:

☐ Applicant/Inventor.

☒ Authorized representative of the Assignee, Netezza Corporation, of the entire interest. See 37 C.F.R. § 3.71. A Statement under 37 C.F.R. § 3.73(b) is enclosed.

☐ Authorized representative of the Assignee, [ ], together with [ ], of the entire interest. A Statement under 37 C.F.R. § 3.73(b) is enclosed.

**SIGNATURE of Applicant or Assignee of Record**

Name & Title

DJ Scannell Jr / CFO.

Signature

[Signature]

Date

11/14/03



Docket No. 3336.1016-001

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Applicant: Foster D. Hinshaw, Sanjay G. Dixit, John K. Metzger, David L. Meyers, Venkannababu Tammiseti,

Premanand Yerabothu and Barry M. Zane

Application No.: 10/666,729 Filed: September 18, 2003

For: ASYMMETRIC STREAMING RECORD DATA PROCESSOR METHOD AND APPARATUS

Netezza Corporation, a corporation,  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is

- A. ☒ the assignee of the entire right, title and interest in the patent application identified above; or
- B. ☐ an assignee together with ☐ of the entire right, title and interest in the patent application identified above.

The right, title and interest of the above-named assignee in the patent application identified above is established by virtue of:

- A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date: 11/14/03

Name: DJ Scaddell JR.

Title: CFO.

Signature: [Handwritten Signature]

COPY

Docket No. 3336.1016-001

Joint

ASSIGNMENT

WHEREAS, we, **Foster D. Hinshaw, Sanjay G. Dixit, John K. Metzger, David L. Meyers, Venkannababu Tammiseti, Premanand Yerabothu and Barry M. Zane**, have invented a certain improvement in **ASYMMETRIC STREAMING RECORD DATA PROCESSOR METHOD AND APPARATUS** described in an application for Letters Patent of the United States,

- ☐ the specification of which is being executed on even date herewith and is about to be filed in the United States Patent Office;
- ☒ the specification of which was filed on **September 18, 2003** as United States Application No. **10/666,729**;
- ☐ the specification of which is the United States National Stage of International Application No. [    ], filed on [    ];
- ☐ which was patented under United States Patent No. [    ] on [    ].

WHEREAS, **Netezza Corporation** (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the **State of Delaware**, and having a usual place of business at **200 Crossing Boulevard, Framingham, Massachusetts 01702-4480** desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the

Docket No. 3336.1016-001

execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor's Signature: \_\_\_\_\_

Foster D. Hinshaw

State/Commonwealth \_\_\_\_\_

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **Foster D. Hinshaw** and acknowledged that he executed the foregoing instrument as his free act and deed this 12th day of November, 2003.

(SEAL)

David M. Watson

Notary Public

David M. Watson

(print name)

My Commission expires 6 / 5 / 2009

Inventor's Signature: \_\_\_\_\_

Sanjay G. Dixit

**Sanjay G. Dixit**

State/Commonwealth

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **Sanjay G. Dixit** and acknowledged that he executed the foregoing instrument as his free act and deed this 12th day of November, 2003.

(SEAL)

David M. Watson

Notary Public

David M. Watson

(print name)

My Commission expires 6 / 5 / 2009

Inventor's Signature: \_\_\_\_\_

John K. Metzger

**John K. Metzger**

State/Commonwealth

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **John K. Metzger** and acknowledged that he executed the foregoing instrument as his free act and deed this 12th day of November, 2003.

(SEAL)

David M. Watson

Notary Public

David M. Watson

(print name)

My Commission expires 6 / 5 / 2009



Inventor's Signature: \_\_\_\_\_

David L. Meyers

**David L. Meyers**

State/Commonwealth

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **David L. Meyers** and acknowledged that he executed the foregoing instrument as his free act and deed this 12th day of November, 2003.

(SEAL)

David M. Watson

Notary Public

David M. Watson

(print name)

My Commission expires 6/5/2009

Inventor's Signature: \_\_\_\_\_

Babu Tammisetti

12-Nov-2003

**Venkannababu Tammisetti**

State/Commonwealth

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **Venkannababu Tammisetti** and acknowledged that he executed the foregoing instrument as his free act and deed this 12th day of November, 2009.

(SEAL)

David M. Watson

Notary Public

David M. Watson

(print name)

My Commission expires 6/5/2009

Inventor's Signature: Premanand Yerabothu  
**Premanand Yerabothu**

State/Commonwealth  
of Massachusetts  
County of Middlesex

Then personally appeared before me the above-named **Premanand Yerabothu** and acknowledged that he executed the foregoing instrument as his free act and deed this 12th day of November, 2003.

(SEAL) David M. Watson Notary Public  
David M. Watson (print name)  
My Commission expires 6/5/2009

Inventor's Signature: Barry M. Zane  
**Barry M. Zane**

State/Commonwealth  
of Massachusetts  
County of Middlesex

Then personally appeared before me the above-named **Barry M. Zane** and acknowledged that he executed the foregoing instrument as his free act and deed this 12th day of November, 2003.

(SEAL) David M. Watson Notary Public  
David M. Watson (print name)  
My Commission expires 6/5/2009